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PATENT APPLICATION  
Docket: 15436.434.5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Klein L. Johnson	)
Serial No.: 09/342,801	) Art Unit
Filed: June 29, 1999	) 2877
Confirmation No.: 7109	)
For: HERMETIC CHIP-SCALE PACKAGE	)
	)
Examiner: Michael P. Mooney	)

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Mail Stop: AMENDMENT  
Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed listed references are disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

Statement of Relevance of References Listed  
Unaccompanied by English Translation  
Under 37 C.F.R. § 1.98(a)(3)

In accordance with 37 C.F.R. § 1.98(a)(3), the following concise explanation of the relevance of each listed reference that is not in the English language and unaccompanied by a translation into English is provided:

**Japanese Patent No. JP60153184, Issued 8/12/1985: Light Receiving Element --**

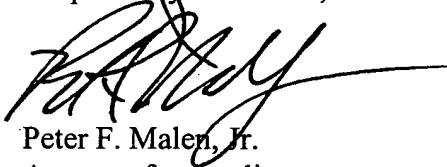
**PURPOSE:** To obtain the titled element having a small interterminal static capacitance andunnecessitating high accuracies in the positioning of a light receiving element chip to the lens center by a method wherein a substrate is thinned and a condenser lens is made integral with the substrate, and an insulator package is used for the light receiving element chip.

**CONSTITUTION:** The substrate 30 of the illustrated light receiving element is made of insulating glass which is optically transparent in a light receiving wavelength band and chemically stable. A photoelement chip 32 is fixed to the lower surface of this substrate 30, and bonding pads 34 and 36 are formed. The pad 34 has a circular part 34A, and a photo receiving window 38 is formed at the center of this part 34A. The electrode around the photo receiving window of the chip 32 is diebonded to the circular part 34A of the pad 34 so that the photo receiving plane of the chip 32 may be coincident with the window 38. On the other hand, the electrode on the opposite side of the photo receiving plane of the chip 32 is connected to the pad 36 with a wire 40, and outer leads 42 and 44 are connected to the pads 34 and 36, respectively. The condenser lens 46 is integrally formed to the upper surface of the substrate 30 in agreement with the window 38. Further, the chip 32 is encircled and the peripheral edge of a cap 50 is hermetically sealed to the lower surface of the substrate, thus completing the titled element.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed. Please note that the enclosed reference JP07-134223 is a computer generated translation, produced by, and obtained from, the Japanese Patent Office Website <http://www.jpo.go.jp/>.

Dated this 11<sup>th</sup> day of January 2005.

Respectfully submitted,



Peter F. Malen, Jr.  
Attorney for Applicant  
Registration No. 45,576  
Customer No.: 022913  
Telephone No. (801) 533-9800





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FOR PHOTONIC DEVICES )  
Examiner: Michael P. Mooney )

CERTIFICATE OF DEPOSIT UNDER 37 C.F.R. § 1.8

I hereby certify that the following documents are being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to: Mail Stop: AMENDMENT, Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450, on the 11 day of January 2005.

- Transmittal for Supplemental Information Disclosure Statement (2 pages) (in duplicate)
- Supplemental Information Disclosure Statement (2 pages)
- Form PTO-1449 listing 2 references (1 page)
- Copies of 2 references
- Credit Card Form PTO-2038 in the amount of \$180 (1 page)
- Postcard

Respectfully submitted,

Linda Clark, Assistant to  
Peter F. Malen, Jr.  
Attorney for Applicant  
Registration No. 45,576  
**Customer No.: 022913**  
Telephone No. (801) 533-9800

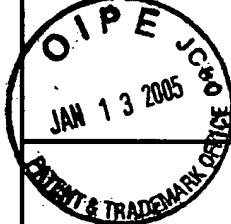
**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
15436.434.5

In Re Application Of: **Klein L. Johnson**

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
09/342,801	June 29, 1999	Michael P. Mooney	022913	2877	7109

Title: **HERMETIC CHIP-SCALE PACKAGE FOR PHOTONIC DEVICES**



Address to:  
**Commissioner for Patents**  
P.O. Box 1450  
Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

1.  The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2.  The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

the statement specified in 37 CFR 1.97(e);

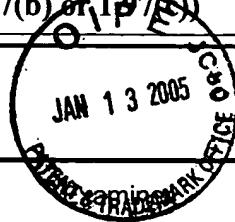
**OR**

the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
 (Under 37 CFR 1.97(b) or 1.97(e))

Docket No.  
 15436.434.5

In Re Application: Klein L. Johnson



Application No.	Filing Date		Customer No.	Group Art Unit	Confirmation No.
09/342,801	June 29, 1999	Michael P. Mooney	022913	2877	7109

Title: HERMETIC CHIP-SCALE PACKAGE FOR PHOTONIC DEVICES

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- A check in the amount of \_\_\_\_\_ is attached.
- The Director is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below.
  - Charge the amount of \_\_\_\_\_
  - Credit any overpayment.
  - Charge any additional fee required.
- Payment by credit card. Form PTO-2038 is attached.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

**Certificate of Transmission by Facsimile\***

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. \_\_\_\_\_)

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**Certificate of Mailing by First Class Mail**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on

January 11, 2005

(Date)

Signature of Person Mailing Correspondence

Linda Clark

Typed or Printed Name of Person Mailing Certificate

\*This certificate may only be used if paying by deposit account.

Signature

PETER F. MALEN, JR.  
 Attorney for Applicant  
 Registration No. 45,576  
 Customer No. 022913  
 Telephone No. (801) 533-9800

CC:

Dated: January 11, 2005